

Records Management

Responsibilities & Guidance

During the upcoming clean up days, please review your paper and electronic records to make sure they are captured in the appropriate recordkeeping system, properly transferred, retired, or destroyed.

What are your Records Management Responsibilities?

If you create a document using a word processor, enter information into a database, file a document in a folder, answer an inquiry from the public, respond to a FOIA request, or do anything else that documents your activities for EPA, you are a records custodian. You are responsible for ensuring the safety, timely availability, and proper retention and/or transfer of information in your custody. Specifically, all EPA employees are responsible for:

- Creating and managing the records necessary to document the Agency's official activities and actions, including those records generated by EPA contractors and grantees, in accordance with EPA recordkeeping requirements.
- Destroying records only in accordance with approved records schedules and never removing records from EPA without authorization.
- Filing records for safe storage and efficient retrieval and maintaining personal papers and non-record materials separately from official EPA records.

Which Records are Important to your Program?

What does your program do that needs to be documented? What types of records are created in your program? What are your mission critical records? What records document your decisions or are part of the audit trail? Examples might include permit files, project files, reports, publications, time cards, personnel files, contract files, and so on.

Look at each type of record and decide why it is created and maintained. Your program may be required to create and maintain records for a number of valid reasons including program administration, management reporting, statute, federal regulation, Agency policy or procedures.

Concentrate on the files that directly support the agency mission or administration. These are your "corporate" records, without which your program could not function. They are the ones you need to control. Identifying the list of corporate or mission critical records is the most important and the most difficult step in the process. It takes a little time, but the benefits are great and it will allow you to manage your information assets much more effectively and efficiently.

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GUIDANCE ON RECORDS OF DEPARTING EMPLOYEES

Prior to departing/retiring from the EPA you will need to transfer your active records to another individual and have your inactive records prepared for storage or destruction under approved Records Schedules. This includes all paper and electronic records in your personal work space. Locations of electronic documents include your hard drive, network drives, e-mail and any removable media. You need to identify and transfer all documentary materials. If you leave anything behind in your workspace make sure an authorized person has accepted responsibility for it and knows what to do with it.

EPA Form 311-49

<http://intranet.epa.gov/records/files/EPA-Records-Management-Checklist-3110-49-final-DC20161012.docx>

CLEAN UP DAY PROCESS

Each staff member will decide which of their records should be retained, which should be retired, and which should be recycled.

Keep the following guidelines in mind when reviewing your office records:

- Retain only those records required to conduct current Agency business.
- Retire all inactive records that are eligible as indicated in the applicable records schedule.

Determine if you have a record?

- (Interactive): <http://intranet.epa.gov/records/whatis/index.html>

And

- Find the schedules for your files at the Records Schedule website:
<http://intranet.epa.gov/records/schedule/index.html>
 - Recycle all records that have exceeded their retention period as indicated in the applicable records schedule.

Before destroying records see:

- Destroying records: <https://intranet.ord.epa.gov/records-management/destroying-records>

Federal law requires agencies to have safeguards preventing the illegal, unauthorized destruction of records (44 U.S.C. 3106) and imposes criminal penalties for unauthorized destruction (18 U.S.C. 2071). Destroy records only as authorized by the disposition instructions in the applicable NARA-

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approved records schedule when there are no current, pending or anticipated litigation or FOIA requests.

- Recycle any personal papers, technical reference materials, and other non-record items that are no longer needed.

The basic file maintenance activities are:

- Closing records - close or break records as instructed in the records schedules;
- Starting records - start new folders for new projects; and
- Retiring records - retire your records to areas designated for inactive storage.

File e-mail messages that are records into an appropriate recordkeeping system. Messages can be saved in EZ Email Records (<http://intranet.epa.gov/emailrecords/>) or printed and filed in a paper recordkeeping system. If you print the message, be sure to include transmission data (the name of the sender and recipients, the date of the message) and any attachments. If the message is saved in EZ Email Records, the transmission data and attachments will be captured automatically.

Extramural & Deliverables

Before you can destroy any Extramural Vehicle (e.g., Contracts, Cooperative Agreements, Grants, Interagency Agreements, MOUs, etc.), you must know when the extramural vehicle closed or received a final payment in order to calculate retention. Check with your extramural resources contact, Jan Contreras or Paulette Wheeler to get that information.

Deliverables for Extramural Vehicles have a different schedule retention and should be taken out of the extramural files to be archived separately. Only the duplicate deliverables can remain with the extramural files.

Files Subject to Litigation?

To check to see if you have been named as subject to a current litigation hold - Just click the link: <http://litholdandcollect.epa.gov/portal> and your User ID will automatically query and the results returned in a new window. **(If any information comes up under your name, please copy the information in an email and send to your supervisor and records contact.)**

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CBIs & PII's

At no time can CBIs & PII's be recycled. They must be shredded. PII information such as social security numbers and financial account numbers are sometimes found in, but not limited to, travel files; training files; personnel files; and contract files.

Records Contacts

Contact Jan Contreras, Records Liaison, to request assistance from Paulette Wheeler, ASRC Records Contractor, to send inactive records to storage.

- Jan Contreras: 702-798-2383
- Paulette Wheeler: 702-798-2528